



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM annual report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM Donald G. Shalhoub
- Position title Chief Counsel to the Chairman
- Address Occupational Safety and Health Review Commission
1120 20th Street NW 9th Floor
Washington, DC 20036-3457

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list:

Agency: Occupational Safety and Health Review Commission (OSHRC)

- 2. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

- Yes
 No

Please explain your response:

All permanent electronic records, such as press releases and case decisions, are being retained in an electronic format. OSHRC does not “print to file” but instead maintains permanent electronic records in an electronic format.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

Please explain your response:

The agency’s permanent electronic records are maintained in an electronic format and are being handled as discussed in the NARA publication. As an example, the agency completed the conversion of Commission cases and their underlying ALJ decisions that

were previously available only on microfiche into a digital format in preparation for posting on the agency's website.

4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.

- Yes
 No

Please explain your response (include specific goals and example metrics):

We are aware of the upcoming deadline and are developing strategic plans, goals, objectives, and initiatives that will enable us to comply by the deadline. The majority of our agency's work product is the documentation involved with case adjudication, and such documents are being maintained electronically in our e-filing system.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

Please explain your response:

As a micro agency (61 FTE total positions) with a limited budget and a relatively small volume of material to transition to an Electronic Environment, we have not had the need to procure such solutions other than how they have been procured by our IT office in the past, such as through GSA Schedule 70.

6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records

management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

All incoming and outgoing senior officials have been briefed on their general records management responsibilities and know to contact the records officer if they have any questions.

7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))

- Yes
 No

Please explain your response:

I work directly with the agency's record officer to ensure that our agency's records management program has the support and resources it needs to be successful.

8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))

- Yes
 No

Please explain your response:

We have implemented agency wide appropriate role-based records management training based on NARA videos such as Records Management Guidance for Political Appointees, Word of the Week: Record, and Word of the Week: Nonrecord.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

Please explain your response:

I have worked directly with the OSHRC Records Officer to ensure that agency records management directives, policies, procedures, and retention schedules are being properly implemented.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes
 No

Please explain your response:

We would welcome support from NARA on the best practices for micro agencies like ours to successfully transition to fully electronic recordkeeping.